

## **Non-Supervisory Employees PMAP Training**

NIH implemented the new Performance Management Appraisal Program (PMAP) in June 2006. As part of the implementation process, it is mandatory that all managers, supervisors and employees complete PMAP training.

We are required to document and report to HHS the completion of this training by all staff in ORS and ORF.

Due to system problems with the HHS Learning Portal on-line training we are providing the following PDF documents that contain screen captures of the PMAP Supervisors Training and Employee Training modules. All staff is asked to read the appropriate documents on line and certify completion on an electronic confirmation page.

## Performance Management Appraisal Program

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### Introductory Videos

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Welcome to HHS' online training for the new Performance Management Appraisal Program. Please click below, on each picture, to view important welcoming/introductory video messages from Deputy Secretary Azar and Nancy Bagley from the Office of the Secretary. After viewing both of these videos you can begin your online training. If you can not access the videos by clicking on the pictures, please click the link below each picture to view a transcript of the video messages. Please note, if you do not view each of the videos, in their entirety, you will not receive completion status for this section of the training.



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Hello, I'm Alex Azar, the Deputy Secretary of Health and Human Services. I'd like to welcome you to this online training for our new HHS Performance Management Appraisal Program.

Our mission at HHS is to ensure the health and well-being of Americans. We do this by providing for effective health and human services. Fostering strong, sustained advances in the sciences that underlie medicine, public health, and social services.

Each one of us has the responsibility to uphold and promote this mission for our efforts have a direct impact on the lives of millions of Americans.

The new Performance Management Appraisal Program is a tool designed to assist HHS employees to achieve organizational and individual performance goals. There are two types of training, supervisory and non-supervisory. The non-supervisory employee training is designed to provide HHS employees with the specifics of this program and clear instructions regarding their role in the performance management process. The supervisory training is designed to give HHS managers and supervisors succinct information and instructions on how to enact the system of setting goals and measurements that make clear distinctions between levels of employee performance and results. In order for this program to work efficiently and effectively, it is imperative that all HHS employees complete the appropriate type of training, supervisory or non-supervisory, depending on your position, within the timeframes established by your Operating or Staff Division. After you complete your training, your Operating or Staff Division will invite you to an information and question and answer briefing session.

So, starting next quarter, please join me in the implementation of the new Performance Management Appraisal Program. Thank you for your hard work and dedication.

Hi, I am Nancy Bagley, from the Office of Human Resources within the Office of the Secretary. Welcome to this online training for our new HHS Performance Management Appraisal Program. As you will learn during this training, this program is established to provide us, the employees of HHS, with a tool by which we link performance to carrying out the Agency's goals.

It is our hope that each and all of us are serving the American public by performing our jobs with "world-class service" as our goal.

The establishment of the performance plan is a collaborative effort between you and your supervisor. During the course of the performance year, your supervisor is expected to provide you with candid, constructive feedback about your performance. In the new program, we are looking for meaningful distinctions in performance and rewarding accordingly. The program is a multi-tiered system in which your performance will be rated within the defined levels of the system. You will learn more about this during this online training.

Please take your time when going through this training. Be sure to read and understand how this system works. We are asking that you complete the training and the practice exercises. Once completed successfully, you will be credited with having finished this training.

As the Deputy Secretary for HHS mentioned, after completion of this training, your Operating or Staff Division will invite you to an information and question and answer briefing session. While completing this online training, please make a note of any questions you have and be sure to ask these questions at the information briefing session you attend.

Again, thank you for your time and attention.

If you have any feedback, questions, issues, or concerns about the Performance Management Appraisal Program, please provide this information using the training evaluation link provided at the end of this training.

Thank you for your professionalism and commitment to our mission.

## Performance Management for Employees

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#### WHAT'S IN THE PERFORMANCE APPRAISAL PROCESS FOR YOU?

Opportunity! The performance appraisal allows you the opportunity to communicate with your supervisor and to clarify and understand your organization's goals/values.

#### WHAT'S YOUR ROLE IN THE PERFORMANCE APPRAISAL PROCESS?

You should:

- ◆ Participate with your supervisor in the development of your performance plan;
- ◆ Collect and provide data to your supervisor to demonstrate that the performance standards are being met or exceeded;
- ◆ Participate in the progress reviews;
- ◆ Complete the appraisal process by engaging in a discussion with your supervisor and signing and dating your performance appraisal; and
- ◆ Seek developmental opportunities to enhance performance.



PMAP requires employees to take an active role in the process.

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#### WHY ARE WE DOING THIS?

First, the Office of Personnel Management has an ongoing objective to explore ways to make the Federal Government more performance-oriented and to develop better tools for improving the strategic management of human capital. As recent events have shown all too clearly, government performance is critically important. To meet the present challenges--and to anticipate and overcome future challenges--HHS designed a performance management appraisal program to:

- ◆ Reward deserving employees (e.g., promotions, pay increases or awards) based on performance;
- ◆ Identify training and developmental needs;
- ◆ Encourage productive employees to remain in their jobs; and
- ◆ Help employees perform to their highest potential.

Secondly, it just makes good sense for your supervisor to: (a) tell you what is expected of you, (b) give you a chance to perform your duties with opportunities for feedback at appropriate times, and (c) tell you how well you did your job.

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#### **WHAT PERSONNEL ACTIONS ARE BASED DIRECTLY ON YOUR PERFORMANCE RATING?**


Ratings are used for actions related to performance awards, pay increases, and reductions-in-force. Ratings below the "fully successful" level will result in ineligibility for promotion and within-grade increases.

#### **WHEN IS THE APPRAISAL PERIOD?**

All employees are to be appraised at least once annually. Beginning January 2007 the appraisal cycle will run from January 1 to December 31. Formal progress reviews must also be conducted at the midpoint of the appraisal cycle.

#### **HOW WILL YOU KNOW WHAT IS EXPECTED OF YOU?**

You get the information in the performance planning stage. Within the first 30 days of the appraisal period, you and your supervisor must sign off on your performance plan.



Your performance  
can lead to awards  
and pay increases.

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Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

**Which of the following does not accurately describe your role in the appraisal process?**

- ☐ A. Seek developmental opportunities
- ☐ B. Work with supervisor to develop your performance plan
- ☐ C. Collect data about your performance
- ☒ D. Sign the performance plan that your supervisor developed

Correct.

**Submit**

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Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

**One goal of PMAP is to encourage employees who are less than Fully Successful by giving them awards.**

- ☐ True  
☒ False

Correct.

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HHS' PMAP covers all DHHS employees, non-SES managers, supervisors, and [team leaders](#). The following are **not** covered under this system:

1. A member of the Senior Executive Service (ES);
2. An employee appointed to the excepted service under Schedule A 213.3102(o) whose appointment is limited to 1 year or less;
3. A fellow appointed under Section 207(g) of the Public Health Service Act, as amended;
4. An expert or consultant;
5. A member of an advisory committee;
6. A person serving under an appointment in the excepted service having a time limit of less than 90 days;
7. A member of the DHHS uniformed service, i.e., a PHS Commissioned Corps officer;
8. A resident, intern, or other student employee who receives a stipend under section 5352 of 5 U.S.C.;
9. An employee on detail to a public international organization;
10. An employee in a position for which employment is not reasonably expected to exceed 90 calendar days in a consecutive 12-month period;
11. An employee outside the United States who is paid in accordance with local native prevailing wage rates for the area in which employed;
12. An Administrative Law Judge appointed under Section 3105 of Title 5, U.S. Code;
13. An individual appointed by the President; and
14. An individual who (a) is serving in a position under a temporary appointment for less than one year, (b) agrees to serve without a performance evaluation, and (c) will not be considered for a reappointment or for an increase in pay based in whole or in part on performance.



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## Definitions

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<b>Appraisal</b>	means the process under which performance is reviewed and evaluated.
<b>Appraisal period</b>	means the established period of time for which an employee's performance will be reviewed and a rating of record prepared. The appraisal period covers the Calendar Year (January 1 through December 31). In DHHS, the minimum appraisal period is 90 days. An employee must perform work under a performance plan in place for a <u>minimum of 90 calendar days</u> to receive a rating.
<b>Critical element</b>	means work assignments or responsibilities of such importance that unacceptable performance on the element would result in a determination that an employee's overall performance is unacceptable. <u>All</u> elements in the performance plan are <u>critical</u> .
<b>Performance</b>	means an employee's accomplishment of assigned work as specified in the critical elements of the employee's position.
<b>Performance appraisal system</b>	means the framework of Department-wide policies and parameters established for planning, monitoring, developing, evaluating, and rewarding individual performance, and for using the resulting performance information in making personnel decisions.
<b>Performance award</b>	means a performance-based, lump sum cash payment to an individual employee based on the employee's rating of record. A performance award does <u>not</u> increase base pay.
<b>Performance awards budget</b>	means the amount of money allocated by the Department/OPDIV for distribution as performance awards to covered employees.
<b>Performance plan</b>	means all of the written performance elements that an employee is expected to accomplish during the appraisal period. These objectives are linked to specific program and management outcomes and are linked to the Department's and OPDIV's strategic plans. These objectives are derived from the OPDIV Head's performance plan and are cascaded, as appropriate, to all employees. A performance plan must include all critical elements and their performance standards.

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<b>Performance rating</b>	means the written appraisal of performance compared to the performance standards for each critical element on which there has been an opportunity to perform for the minimum period (i.e., 90 calendar days). A performance rating includes the assignment of a summary rating level.
<b>Performance standard</b>	means a statement of the performance threshold, requirement, or expectation for an element that must be met to be appraised at a particular level of performance. A performance standard may focus on, for example, factors such as quality, quantity, timeliness, and manner of performance.
<b>Progress review</b>	means communicating with the employee about his/her performance to date, compared to the performance standards for each element. Progress reviews are important for providing consistent performance feedback to employees and can be conducted at any time during the appraisal period. One formal progress review is required and is generally conducted midway through the appraisal period. Ratings are not assigned for progress reviews.
<b>Quality Step Increase</b>	means a permanent increase in basic pay, equivalent to one step within the grade.
<b>Rating Official</b>	means the official who is responsible for informing the employee of the critical elements of his/her position, establishing performance requirements, providing feedback, appraising performance, and assigning the summary rating. The rating official is ordinarily the employee's immediate supervisor.
<b>Rating of record</b>	means the performance rating prepared at the end of an appraisal period for performance over the entire appraisal period. In most cases, a summary rating (see definition below) will become the rating of record.
<b>Reviewing official</b>	means an official with review and approval authority at a level higher than the rating official. Reviewing officials are ordinarily two supervisory levels above the employee.
<b>Strategic planning initiatives</b>	are Department and agency goals, agency strategic plans, annual performance plans, organizational work plans, Presidential initiatives, and other future-focused related initiatives.
<b>Summary rating</b>	means combining the written appraisal of each critical element (on which there has been an opportunity to perform for the minimum period, i.e., 90 calendar days) to assign a summary rating level. The rating official derives the summary rating from appraising the employee's performance during the appraisal period on each element.
<b>Time Off Award</b>	means an award granted to an employee, which allows the employee to take time off from work, with pay and without charge to annual leave.

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Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

**Which of the following positions are covered under the DHHS performance management system?**

- ☐ A. A consultant
- ☐ B. A PHS Comissioned Corps officer
- ☐ C. An intern
- ☒ D. A non-SES manager

Correct.

**Submit**

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Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

**In DHHS, the minimum appraisal period is 30 days.**

- ☐ True  
☒ False

Correct.

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Match the term on the left with the best definition on the right.

- A. Performance Standard
- B. Critical Element
- C. Rating of Record
- D. Summary Rating

- A. Performance rating prepared at the end of an appraisal period
- B. Statement of the performance required to be appraised at a certain level
- C. Assignment or responsibility that must be completed successfully or overall performance is unacceptable
- D. A total derived by combining the written appraisal of each critical element

Correct.

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The HHS PMAP helps you achieve organizational and individual goals by providing you with clear expectations and feedback and rewarding exceptional performance. Some of the major components of the system include the following:

- ◆ Ratings are used to determine actions such as awards and pay increases;
- ◆ The appraisal cycle runs from January 1 to December 31; and
- ◆ All DHHS employees, non-SES managers, supervisors, and team leaders are covered under PMAP (with some exceptions).

Another important part of PMAP is the collaborative effort between employees and supervisors; employees will take an active role all phases of the performance planning process. Next, you will learn more about your part in the performance management process.

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The performance management process includes five components:

1. Planning
2. Monitoring
3. Developing
4. Rating
5. Rewarding

The performance plan is the cornerstone of each of these components, providing the basis for communicating performance expectations and evaluating how well they are being met. An individual employee performance plan, which is comprised of critical performance elements and standards, is established annually for each employee. In this section we will discuss how the PMAP implements each of these components and your role in the performance management process.



The performance plan  
tells you what you must  
do and how well you  
must do it.

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A critical component of the PMAP is the collaboration between the supervisor (rating official) and employee. This collaboration begins with the development of the performance plan and continues throughout the performance management process. At the beginning of the appraisal period the rating official and the employee will discuss the organization's desired program and management outcomes and the individual performance objectives for the employee. The final authority for establishing the performance plan rests with the rating official, but as an employee, your input is needed for the following reasons:

- ◆ You know more about what you actually do than anyone else and can provide insight as to what goals and measures are relevant;
- ◆ You can clarify your expectations and goals; and
- ◆ You can help identify the organizational goals that your position supports.



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#### Components of the Performance Plan

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The DHHS performance plan contains one critical element that relates to administrative requirements and between three and five critical elements that relate to individual performance outcomes.

#### Administrative Requirements

- ◆ Describe successful performance in responsibilities that are common to most employees (ethics, customer service, performance management, etc.)
- ◆ Supervisor and employee will decide which areas apply to the employee's position

#### Individual Performance Outcomes

- ◆ Address the employee's results that contribute to the success of DHHS and STAFFDIV/OPDIV
- ◆ At least one individual performance outcome must be linked to the "One HHS" Program and Management Objectives

These elements are the basis for measuring performance throughout the appraisal period, so it is essential that the elements are an accurate reflection of the work that is done.

As stated earlier, the reviewing official and the employee will work together to identify the elements that reflect the most important aspects of the position.

Plans contain critical elements that relate to administrative requirement and individual performance outcomes.



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Once the performance plan has been written and signed by the supervisor and employee, the appraisal period begins. (Some organizations may require that a second-level supervisor also sign the plan prior to its implementation.) The supervisor and the employee both have responsibilities during the rating period. The employee is responsible for the following:

- ◆ Perform the critical elements in an acceptable manner;
- ◆ Collect and share data about your own performance;
- ◆ Seek out development opportunities; and
- ◆ Communicate any concerns or suggestions to your supervisor.

The supervisor's primary responsibility is gathering information related to performance and providing continuous feedback to the employee regarding performance (both positive and when improvement is needed). In this way, the employee and the supervisor are both monitoring and, if necessary, trying to improve performance throughout the rating cycle.

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In addition to informal feedback throughout the rating cycle, one formal progress review must be held between the supervisor and employee around the midpoint in the rating cycle. During the progress review, the supervisor and employee will discuss and document the following:

- ◆ Any evolving priorities or organizational changes that impact the employee's work assignments; and
- ◆ Any areas needing improvement, and, if necessary, steps needed to bring performance to the fully successful level.

Employees should take an active role in the progress review and be prepared to discuss their performance and any issues that may affect it. The progress review is also a good time to discuss any development opportunities that may be available. The supervisor and employee both sign and keep a copy of the progress review.



Employees should be active  
participants in the progress review:  
come prepared!

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At the end of the rating cycle, the rating official will assess the employee's performance on each element in the performance plan and assign a rating at one of the following levels:

- ◆ Exceptional
- ◆ Fully Successful
- ◆ Minimally Successful
- ◆ Unacceptable

The ratings for individual elements are totaled and an average is used to assign a **summary rating** which becomes the rating of record. If an employee receives Minimally Successful on one or more critical elements, he/she cannot receive a summary rating of higher than Fully Successful, regardless of the average point score. A summary rating of Unacceptable must be assigned to any employee who is rated Unacceptable on any critical element.

After the rating official determines the rating of record, the employee and the rating official discuss the appraisal and the employee signs the appraisal. (Some organizations may require that the second-level supervisor also sign the appraisal.) Employees who do not agree with the rating of record should discuss the issue with the rating official to try to resolve the issue informally. Employees also have the right to respond in writing to the rating. The employee's response will be attached to the rating form but will not change the rating. An employee may also file a grievance through the DHHS or OPDIV grievance procedures (as appropriate) or file an EEO complaint if they believe the rating is based on prohibited discrimination.



The rating of record directly affects performance awards.

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Performance awards are tied to the rating of record. Employees whose summary ratings are Exceptional or Fully Successful are eligible for certain awards:

- ◆ Employees rated Exceptional will receive performance awards between 2.5 and 5 percent of salary and are eligible for a quality step increase.
- ◆ Employees rated Fully Successful **may** receive a performance award of up to 2 percent of their salary; however, all employees rated Exceptional must be paid first.
- ◆ Cash awards may be converted to time-off equivalent (up to 40 hours per calendar year). The remaining balance will be paid in cash.

If an employee's performance is rated below Fully Successful, the rating official must prepare a written assessment of the employee's overall performance, including specific performance deficiencies as part of the appraisal.

- ◆ Employees whose performance is Minimally Successful are not eligible for a within-grade increase.
- ◆ If an employee's performance is Unacceptable, the supervisor must give written notice to the employee and provide the employee with an opportunity to demonstrate acceptable performance under a Performance Improvement Plan.

Only Exceptional or  
Fully Successful employees  
are eligible for  
performance awards.



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Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

**Performance plans have critical elements that relate to administrative requirements as well as individual performance outcomes.**

- ☒ True  
☐ False

Correct.

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Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

**Manuel received ratings of Exceptional on four of his critical elements and a rating of Minimally Successful on one critical element. What will Manuel's summary rating be?**

- ☐ A. Exceptional
- ☒ B. Fully Successful
- ☐ C. Minimally Successful
- ☐ D. Unacceptable

Correct.

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Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

**Which of the following statements are true for employees rated Fully Successful?**

- ☐ A. She may be put on a Performance Improvement Plan
- ☐ B. She may be eligible for a Quality Step Increase
- ☒ C. She may receive an award of up to 2 percent of her salary
- ☐ D. She may receive an award of up to 5 percent of her salary

Correct.

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Employees and supervisors must work together in order for a performance management system to be effective. The following is a summary of employee responsibilities in the PMAP processes:

- ◆ **Planning:** Employee should work with supervisor to develop the performance plan.
- ◆ **Monitoring:** Employee should perform at an acceptable level and collect data on performance and discuss concerns, development opportunities, or changing needs with supervisor on a continuous basis. In addition, the employee must participate in a formal progress review at least once during the rating cycle.
- ◆ **Developing:** Employee should seek out development opportunities and discuss them with supervisor.
- ◆ **Rating:** Employee must sign and date the appraisal and discuss any issues with the rating official.
- ◆ **Rewarding:** Employee may be eligible for awards based on Exceptional or Fully Successful performance.



Employees have responsibilities in every part of the performance management process.

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In this training program, you have learned about the new HHS PMAP system for managing performance. This system establishes an effective, more efficient performance appraisal process that does the following:

- ◆ Communicates and clarifies organizational goals to all employees;
- ◆ Links performance to strategic planning initiatives;
- ◆ Encourages employee input in the planning process;
- ◆ Uses appropriate measures of performance to recognize and reward individual accomplishments; and
- ◆ Allows for personnel actions based on performance.

PMAP provides an opportunity for employees to become a part of the performance management process and to get recognition and rewards for accomplishments.

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Next, you must answer post-test questions. You will have one chance to answer each question. Feedback will **not** be given until you finish the post-test. You have one opportunity to take the post-test. **The post-test will take approximately 10 minutes.** Do not start unless you're sure you can finish.

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#### Question 1

Read the following question or statement, and respond by selecting one or more options. When you're through, click the submit button to score the question.

Which of the following positions are not covered under the DHHS performance management system?

- ☒ A. A SES manager
- ☐ B. A medical officer in CDC
- ☒ C. A presidential appointee
- ☒ D. A member of an advisory committee

Correct

**Next Question**

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### Question 2

Read the following question. Your answer choices are on the left with letter identifiers. Type the letter of your answer in the box next to the appropriate option on the right. When you're through, click the submit button to score the question.

- A. Reviewing Official**
- B. Quality Step Increase**
- C. Performance Award**
- D. Rating Official**

- A cash payment that does not increase base pay.
- Permanent increase in base pay.
- Person who assigns the summary rating, usually an employee's immediate supervisor.
- Person who approves the summary rating.

Correct.

**Next Question**

## Performance Management for Employees

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#### Question 3

Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

HHS has established three levels of performance.

- ☐ A. True
- ☒ B. False

**Next Question**

Correct.

## Performance Management for Employees

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#### Question 4

Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

Employee performance plans contains 3-5 critical elements related to administrative requirements and 1 critical element relating to individual performance outcomes.

- ☐ A. True
- ☒ B. False

**Next Question**

Correct.

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#### Question 5

Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

At least one performance outcome must be linked to "One HHS" Program and Management Objectives.

- ☒ A. True
- ☐ B. False

**Next Question**

Correct.

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#### Question 6

Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

Which of the following is not a reason for developing PMAP?

- ☐ A. To help identify development needs
- ☐ B. To help all employees be more productive
- ☐ C. To provide incentives for good employees to stay
- ☒ D. To reward poor performers so they don't complain

**Next Question**

Correct.

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#### Question 7

Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

Employees and supervisors must sign off on a performance plan within 60 days of the beginning of the appraisal period.

- ☐ A. True
- ☒ B. False

**Next Question**

Correct.

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#### Question 8

Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

**Which of the following is not part of your role in the performance appraisal process?**

- ☐ A. Participate in progress reviews
- ☐ B. Seek development opportunities
- ☒ C. Determine the summary rating for your performance
- ☐ D. Work with supervisor to develop your plan

**Next Question**

Correct.

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### Question 9

Read the following question. Your answer choices are on the left with letter identifiers. Type the letter of your answer in the box next to the appropriate option on the right. When you're through, click the submit button to score the question.

**Match stage of the performance management process on the right with the corresponding employee activity on the left.**

**A. Planning**

**B. Monitoring**

**C. Reviewing**

**D. Rating**

Discuss any evolving priorities impacting work assignments

Sign the appraisal and respond in writing, if necessary

Develop performance objectives

Collect performance data

Correct.

**Next Question**

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#### Question 10

Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

An employee was rated Fully Successful on four critical elements and Unacceptable on one critical element. What is her summary rating?

- ☐ A. Exceptional
- ☐ B. Fully Successful
- ☐ C. Minimally Successful
- ☒ D. Unacceptable

**Next Question**

Correct.

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#### Question 11

Read the following question or statement, and respond by selecting one or more options. When you're through, click the submit button to score the question.

Which of the following actions can be based directly on performance ratings?

- ☒ A. Awards
- ☒ B. Reduction in Force
- ☒ C. Pay Increase

**Next Question**

Correct.

## Performance Management for Employees

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### Question 12

Read the following question. Your answer choices are on the left with letter identifiers. Type the letter of your answer in the box next to the appropriate option on the right. When you're through, click the submit button to score the question.

**Match the rating on the right with the action that might be based on it on the left.**

- A. Exceptional**
- B. Fully Successful**
- C. Minimally Successful**
- D. Unacceptable**

- May get award of up to 2 percent of salary
- Not eligible for a Within-grade Increase
- Put on a Performance Improvement Plan
- Eligible for QSI

Correct.

**Next Question**

When you have read every page of this training, you have successfully completed the training. PLEASE CLICK ON THE LINK BELOW TO CONTINUE TO THE [CONFIRMATION PAGE](#).